

08/10/01

J1003 U.S. PTO

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**  
Form for new nonprovisional applications under 37 CFR 1.53(b)

Attorney Docket No.	212706US2S
First Inventor or Application Identifier	Kazuhiro S. [redacted], et al.
Title	NON-VOLATILE SEMICONDUCTOR MEMORY DEVICE HAVING MEMORY CELL ARRAY SUITABLE FOR HIGH DENSITY AND HIGH INTEGRATION
Assignee Name:	
Assignee Address:	

**APPLICATION ELEMENTS**  
*See MPEP chapter 600 concerning utility patent application contents***ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification Total Sheets **60**
3. ☒ Formal Drawing(s) Total Sheets **11**  
(35 U.S.C. 113)
4. ☒ Oath or Declaration Total Pages **2**
  - a. ☒ Newly executed (original)
  - b. ☐ Copy from a prior application (37 C.F.R. §1.63(d))  
(for continuation / divisional w/ box 17 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in  
the prior application, see 37 C.F.R. §1.63(d)(2) and  
1.33(b).
5. ☐ CD-ROM or CD-R in duplicate, large table or Computer  
Program (*Appendix*)
6. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(*if applicable, all necessary*)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification or Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper
  - c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☒ Application Data Sheet. See 37 CFR 1.76
9. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney  
(*when there is an assignee*)
10. ☐ English Translation Document (*if applicable*)
11. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations (1)
12. ☐ Preliminary Amendment
13. ☒ White Advance Serial No. Postcard
14. ☒ Certified Copy of Priority Document(s) (1)  
(*if foreign priority is claimed*)
15. ☐ Applicant claims small entity status.  
See 37 CFR 1.27
16. ☒ Other: Notice of Priority, IDS/List of Related Cases,  
Cited Pending Application (1)

**17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:**

- ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application no.:  
*Prior application information:* Examiner: Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. Amend the specification by inserting before the first line the sentence:**

- ☐ This application is a ☐ Continuation ☐ Division ☐ Continuation-in-part (CIP)  
of application Serial No. Filed on
- ☐ Which was published in English
- ☐ Which was not published in English
- ☐ This application claims priority of provisional application Serial No. Filed

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Name:	Marvin J. Spivak	Registration No.:	24,913
Signature:		Date:	8/10/01
Name:	C. Irvin McClelland	Registration No.:	

Registration Number 21,124

Docket No. 212706US2S

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTOR(S) Kazuhiro SHIMIZU, et al.

SERIAL NO: New Application

FILING DATE: Herewith

FOR: NON-VOLATILE SEMICONDUCTOR MEMORY DEVICE HAVING MEMORY CELL ARRAY  
SUITABLE FOR HIGH DENSITY AND HIGH INTEGRATION

FEE TRANSMITTAL

- ASSISTANT COMMISSIONER FOR PATENTS
- WASHINGTON, D.C. 20231

FOR	NUMBER FILED	NUMBER EXTRA	RATE	CALCULATIONS
TOTAL CLAIMS	18 - 20 =	0	× \$18 =	\$0.00
INDEPENDENT CLAIMS	4 - 3 =	1	× \$80 =	\$80.00
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS (If applicable)			+ \$270 =	\$0.00
<input type="checkbox"/> LATE FILING OF DECLARATION			+ \$130 =	\$0.00
BASIC FEE				\$710.00
TOTAL OF ABOVE CALCULATIONS				\$790.00
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<input type="checkbox"/> FILING IN NON-ENGLISH LANGUAGE			+ \$130 =	\$0.00
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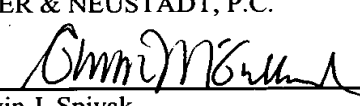
A duplicate copy of this sheet is enclosed.

A check in the amount of **\$830.00** to cover the filing fee is enclosed.

The Commissioner is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 15-0030.  
A duplicate copy of this sheet is enclosed.

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

  
Marvin J. Spivak  
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Date: 8/10/01



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